Mountain Plains States Consortium
WIC System Project

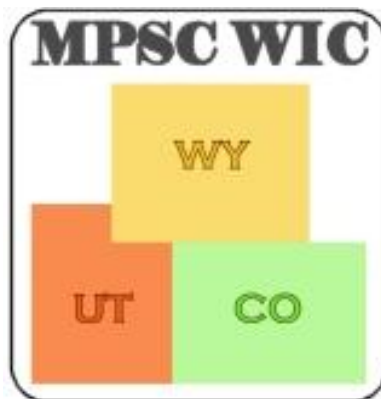## DDI DELIVERABLE #07

VENDOR MANAGEMENT BATCH PROCESSES DFDD

(DETAILED FUNCTIONAL DESIGN DOCUMENT)

Presented to:

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Document Revisions

Revision Date	Updated By	Requested By	Description of Revision
8/23/07	CIBER	MPSC	Revision Version
11/30/07	CIBER	MPSC	Final Version
12/21/07	CIBER	MPSC	Updated Final Version

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1   Calculate WIC Sales

1.1   Summary

This process is used to calculate the monthly WIC sales for each vendor. These totals are based on the sum of the FIs (paper FI and EBT transactions) redeemed by each vendor for the previous month.

1.2   Attributes

How Initiated	Scheduled
Run Frequency	Monthly
Affected Data	WIC sales
Staff	Vendor management
External Organizations	USDA – TIP report
Period Covered	Previous month
Inputs	Food instrument redemptions
Outputs	None
Prerequisites	Food instrument redemptions
Effect on Other Processes	TIP reporting Vendor Sales Screen: Calendar YTD WIC Sales Previous Calendar Month WIC Sales Last Calendar Year WIC Sales WIC Sales

1.3   Processing Logic Details

For non-EBT states, the total amount redeemed (amount paid) for each vendor is extracted from the FI master. For EBT states, the total amount redeemed (amount paid) for each vendor is extracted from the purchase transaction table. These totals include food benefits redeemed by the banking contractor or by the vendor for EBT states. The date used to determine when the sales are recorded is the redemption date for the food benefit. The redemption amounts of all food benefits successfully redeemed by the banking contractor or vendor are summarized by month based on the redemption date.

2   The Integrity Profile (TIP) Extract

2.1   Summary

The Integrity Profile (TIP) report provides an annual analysis of the Special Supplemental Nutrition Program for Women, Infants and Children (WIC) state agency vendor monitoring activities. The selection, authorization, and monitoring of vendors are state agency responsibilities. Annually, state agencies report to the Food and Nutrition Service (FNS) information on vendors monitored and investigated and the actions taken against vendors that violated program requirements. The report discusses the safeguards that exist to prevent vendor fraud and abuse from occurring. These safeguards are an integral part of the WIC food delivery system and play a major role in ensuring program integrity. The TIP report serves an important program purpose in that it provides FNS and other interested parties with specific state-by-state data on WIC vendor characteristics, training, compliance activities and sanctions, and promotes good stewardship of federal funds by assisting State agencies in identifying areas for improvement.

In addition to preventative efforts, state agencies have systems in place to detect vendor violations that may occur. Problems are generally detected through routine monitoring visits, compliance buys, or inventory audits.

The annual report identifies:

• The types of violations that occur in the retail, direct distribution, and home delivery systems of the Special Supplemental Nutrition Program for Women, Infants and Children (WIC)

• The safeguards that exist to ensure compliance with program rules

• State agency actions to prevent, detect, and eliminate fraud, waste, and abuse.

The retail food delivery system is the focus of this report because this system is considered to be most vulnerable to fraud and abuse and loss of program funds.

2.2   Attributes

How Initiated	Batch, manual
Run Frequency	Annually
Affected Data	None
Staff	State Staff
External Organizations	USDA
Period Covered	Previous fiscal year
Inputs	Vendor data
Outputs	Flat file
Prerequisites	None
Effect on Other Processes	None

System Parameter	Purpose	Format
Batch.StateUSDAIDCode	ID which identifies the state submitting the minimum data set.	Character
System.StateFiscalMonthStart	Identifies the first month within the fiscal year (where January = 01, February = 02, etc.).	Integer

2.3   Processing Logic Details

There will be one entry for each vendor authorized that provides food benefits to WIC participants through retail, direct distribution, and home food delivery systems throughout the fiscal year. To be included in the TIP extract, a vendor does not need to have an active status at the time the extract is run, but needs only to have had a status of "Active" at any point during the fiscal year.

The table below outlines the record layout, data elements, field types, the data system table and column that will be used to generate the PC flat file. Unless otherwise specified, all fields are right justified and blank filled. Where data is not available, the fields are left blank (not made zero).

2.4   Record Layouts

Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
1	2	1-2	Agency Code	N	"CO" = Colorado "UT" = Utah "WY" = Wyoming	N/A

Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
2	4	3-6	Fiscal Year	N	Reporting Fiscal Year	N/A
3	12	7-18	Vendor ID	A/N	SnapshotVendor.VendorID Left justified, blank filled	Vendor ID
4	1	19	New Vendor	A	IF SnapshotVendor.InsertDt is in current fiscal year then vendor is new. Acceptable Values: X = new vendor blank = not a new vendor	Vendor Demographics
5	1	20	Training	A	SnapshotVendorTraining.InteractiveIn SnapshotVendorTraining.AnnualIn SnapshotVendorTraining.CompletedDt Acceptable Values: I = Interactive OR both Interactive and Annual A = Annual only N = Neither	Vendor Training: Interactive Checkbox Annual Checkbox
6	1	21	Type of Vendor	A	SnapshotVendor.TIPVendorType Acceptable Values: R = Retail W = WIC-only A = Above 50% C = Commissary P = Pharmacy H = Home Delivery D = Direct Distribution	Vendor Operations: TIP Vendor Type

Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
7	1	22	Risk Designation	A	IF SnapshotVendorRisk. EffectiveDt < end of report period AND SnapshotVendorRisk. EndDt > end of report period for any record WHERE SnapshotVendorRisk. VendorID = vendor ID THEN "H" ELSE "N" Acceptable Values: H = High-risk N = Non-high-risk	Derived from Vendor Risks: Effective Date Risk End Date
8	7	23-29	FNS Number	N	SnapshotVendor.FoodStampID Acceptable Values: 7-Digit FSP number or blank (if vendor not FSP authorized)	Vendor Operations: Food Stamp ID
9	50	30-79	Vendor Name	A	SnapshotVendor.VendorName Left justified, blank filled	Vendor Demographics: Vendor Name
10	8	80-87	Vendor Street Number	A/N	Parse first part of SnapshotVendorAddress.AddressLine1 (for physical address use cd) Numeric only Parse at first space Left justified, blank filled	Vendor Demographics: Address Line 1
11	40	88-127	Vendor Street Name	A/N	SnapshotVendorAddress.AddressLine1 (for physical address use cd) Parse after first space Ignore space or dash ("-") if present in first column Left justified, blank filled	Vendor Demographics: Address Line 1

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Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
12	40	128-167	Vendor Additional Address	A/N	IF SnapshotVendor.POBox is not NULL THEN "PO Box " + SnapshotVendorAddress.POBox Left justified, blank filled	Vendor Demographics: P. O. Box This will always be blank because Physical Addresses do not allow for P.O. Box numbers.
13	30	168-197	Vendor City	A/N	SnapshotVendor.City (for physical address use cd) Left justified, blank filled	Vendor Demographics: City
14	2	198-199	Vendor State	A/N	SnapshotVendor.State (for physical address use cd)	Vendor Demographics: State
15	5	200-204	Vendor Zip	N	SnapshotVendor.Zip Code (for physical address use cd)	Vendor Demographics: Zip Code
16	4	205-208	Vendor Zip + 4	N	SnapshotVendor.ZipPlus4 (for physical address use cd) Blank fill if unknown	Vendor Demographics: Zip Code + 4
17	15	209-223	Annual Redemptions	N	SnapshotVendor.LastYearWICSales Right justified, zero filled, explicit decimal, last two digits represent cents (e.g. $17,982 would be represented as "000000017982.00")	Derived from: VendorMonthlySales
18	2	224-225	Redemption Months	N	SnapshotVendor.FIRedemptionMonths Right justified, zero filled Acceptable values: 00-12	Derived

Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
19	1	226	Redemption Indicators A	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk A blank = no Risk A	Vendor Risks: Risk Type
20	1	227	Redemption Indicators B	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk B blank = no Risk B	Vendor Risks: Risk Type
21	1	228	Redemption Indicators C	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk A blank = no Risk C	Vendor Risks: Risk Type
22	1	229	Redemption Indicators D	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk D blank = no Risk D	Vendor Risks: Risk Type
23	1	230	Volume Indicators E	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk E blank = no Risk E	Vendor Risks: Risk Type
24	1	231	Volume Indicators F	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk F blank = no Risk F	Vendor Risks: Risk Type
25	1	232	Volume Indicators G	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk G blank = no Risk G	Vendor Risks: Risk Type
26	1	233	Volume Indicators H	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk H blank = no Risk H	Vendor Risks: Risk Type

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Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
27	1	234	Volume Indicators I	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk I blank = no Risk I	Vendor Risks: Risk Type
28	1	235	Volume Indicators J	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk J blank = no Risk J	Vendor Risks: Risk Type
29	1	236	Volume Indicators K	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk K blank = no Risk K	Vendor Risks: Risk Type
30	1	237	Participant Indicators L	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk L blank = no Risk L	Vendor Risks: Risk Type
31	1	238	Participant Indicators M	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk M blank = no Risk M	Vendor Risks: Risk Type
32	1	239	Participant Indicators N	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk N blank = no Risk N	Vendor Risks: Risk Type
33	1	240	Participant Indicators O	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk O blank = no Risk O	Vendor Risks: Risk Type
34	1	241	Participant Indicators P	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk P blank = no Risk P	Vendor Risks: Risk Type

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Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
35	1	242	Other Indicators Q	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk Q blank = no Risk Q	Vendor Risks: Risk Type
36	1	243	Other Indicators R	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk R blank = no Risk R	Vendor Risks: Risk Type
37	1	244	Other Indicators S	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk S blank = no Risk S	Vendor Risks: Risk Type
38	1	245	Other Indicators T	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk T blank = no Risk T	Vendor Risks: Risk Type
39	1	246	Other Indicators U	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk U blank = no Risk U	Vendor Risks: Risk Type
40	1	247	Other Indicators V	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk V blank = no Risk V	Vendor Risks: Risk Type
41	1	248	Other Indicators W	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk W blank = no Risk W	Vendor Risks: Risk Type
42	1	249	Other Indicators X	A	SnapshotVendorRisk. Risk Acceptable Values: X = Risk X blank = no Risk X	Vendor Risks: Risk Type

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Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
43	2	250-251	Number of Routine Monitoring Visits	N	Count * FROM SnapshotVendorRoutineMonitoring WHERE RecordedDt between report start and end dates AND VendorID = vendor ID Acceptable values: 01-99 = number of routine monitoring visits blank = no monitoring visits conducted	Derived from Routine Monitoring
44	1	252	Compliance Investigations	A	SnapshotVendorInvestigation.Status Acceptable values: I = Initiated C = Completed O = Ongoing blank = no investigations	Derived from Investigations: Investigation Status
45	1	253	Investigations conducted by entity other than the State	A	n/a (external investigators not used) blank fill	n/a
46	2	254-255	Number of Compliance Buys	N	Select Count(*) From SnapshotVendorInvestigationActivity where (ActivityType = "Compliance Buy") AND ActivityDt between report start and end dates AND SnapshotVendorInvestigation.VendorID = vendor ID (join tables on Vinv_ID) Right justify, zero fill	Derived from Compliance Activity Pop-up

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Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
47	2	256-257	Number of Inventory Audits	N	Select Count(*) From SnapshotVendorInvestigationActivity where ActivityType = "Audit" AND ActivityDt between report start and end dates AND SnapshotVendorInvestigation.VendorID = vendor ID (join tables on Vinv_ID) Right justify, zero fill	Derived from Inventory Audit Activity Pop-up
48	1	258	Reason for Sanction T	A	IF SnapshotVendorInvestigation.Reason = "T" then "X" ELSE blank	Compliance Activity Pop-up: Violation Type
49	1	259	Reason for Sanction A	A	IF SnapshotVendorInvestigation.Reason = "A" then "X" ELSE blank	Compliance Activity Pop-up: Violation Type
50	1	260	Reason for Sanction I	A	IF SnapshotVendorInvestigation.Reason = "I" then "X" ELSE blank	Compliance Activity Pop-up: Violation Type
51	1	261	Reason for Sanction O	A	IF SnapshotVendorInvestigation.Reason = "O" then "X" ELSE blank	Compliance Activity Pop-up: Violation Type
52	1	262	Reason for Sanction R	A	IF SnapshotVendorInvestigation.Reason = "R" then "X" ELSE blank	Compliance Activity Pop-up: Violation Type

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Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
53	1	263	Reason for Sanction F	A	IF SnapshotVendorInvestigation.Reason = "F" then "X" ELSE blank	Vendor Investigation: Violation Type
54	1	264	Reason for Sanction C	A	IF SnapshotVendorInvestigation.Reason = "C" then "X" ELSE blank	Compliance Activity Pop-up: Violation Type
55	1	265	Reason for Sanction U	A	IF SnapshotVendorInvestigation.Reason = "U" then "X" ELSE blank	Compliance Activity Pop-up: Violation Type
56	1	266	Reason for Sanction FSP	A	IF SnapshotVendorInvestigation.Reason = "FSP" then "X" ELSE blank	Compliance Activity Pop-up: Violation Type
57	1	267	Type of Sanction D	A	IF SnapshotVendorInvestigation.ResultingSanction = "D" then "X" ELSE blank	Investigations: Resulting Sanction
58	1	268	Type of Sanction C	A	IF SnapshotVendorInvestigation.ResultingSanction = "C" then "X" ELSE blank	Investigations: Resulting Sanction
59	1	269	Type of Sanction F	A	IF SnapshotVendorInvestigation.ResultingSanction = "F" then "X" ELSE blank	Investigations: Resulting Sanction

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Field Seq.	Field Size	Position	Field Name	Field Type	Data System Source	Where Collected/Viewed in the UI
60	1	270	Type of Sanction S	A	IF SnapshotVendorInvestigation.ResultingSanction = "S" then "X" ELSE blank	Investigations: Resulting Sanction
61	1	271	Type of Sanction N or W	A	IF SnapshotVendorInvestigation.ResultingSanction = "N" or "W" then "X" ELSE blank	Investigations: Resulting Sanction
62	1	272	Administrative Reviews	A	SnapshotVendorInvestigationAppeal.AppealType Acceptable values: P = Pending U = Upheld O = Overturned M = Modified J = Judicial blank = no vendor appeals	Appeal Log Pop-up: Outcome
63	1	273	Vendor Agreement	A	IF SnapshotVendor.Status = ("Closed" or "Terminated") and SnapshotVendor.ContractEndDt within Federal Fiscal Year THEN "T" ELSE IF SnapshotVendor.StatusChangeReason = "Reauthorization Unsuccessful" and within Federal Fiscal Year THEN "E" ELSE blank	Derived from: Status: Vendor Status Reason for Status Change Application Details: Contract End Date
64	8	274-281	Date Referred to FSP	N	SnapshotVendorInvestAction.RefFSDt (MMDDYYYY)	Feedback/Educational Buy/Compliance Activity/Routine Monitoring: Ref to FS Date

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2.5   Indicators

Indicators represent the presence or absence of a particular risk. A risk when present will be reflected with an "X" at the appropriate field location within the record. An "X" does not necessarily indicate a current risk but indicates that the risk existed at some point during the fiscal year represented by the extract.

Field Seq.	Field Name	Field Meaning
19	Redemption Indicators A	Extremely small amount of variation in food instrument prices – the individual food instrument prices do not vary substantially from the average price.
20	Redemption Indicators B	Large percent of food instruments redeemed at same price
21	Redemption Indicators C	Unusually high average food instrument prices – submitting extremely high average food instrument prices compared with similar vendors
22	Redemption Indicators D	Redeemed prices are higher than their price list
23	Volume Indicators E	Large percent of high-priced food instruments
24	Volume Indicators F	Volume of WIC Business
25	Volume Indicators G	Large increase of dollar volume of food instruments redeemed over time
26	Volume Indicators H	Large percent of the area's total WIC redemptions
27	Volume Indicators I	WIC sales are an unusually high percentage of vendor's total sales
28	Volume Indicators J	High WIC to Food Stamps redemption ratio
29	Volume Indicators K	WIC and Food Stamp sales are an unusually high percentage of total sales
30	Participant Indicators L	Participant/other complaints
31	Participant Indicators M	Large number of participants redeeming food instruments outside of their health service area
32	Participant Indicators N	Large number of participants redeeming food instruments who are considered to be at high health risk
33	Participant Indicators O	Large number of food instruments with consecutive serial numbers
34	Participant Indicators P	Large percentage of manually issued food instruments
35	Other Indicators Q	Excessive number of returned checks due to errors
36	Other Indicators R	Past history of violations and disqualifications
37	Other Indicators S	Associations with known violators
38	Other Indicators T	Multiple ownerships which include known violators
39	Other Indicators U	Short on authorized food items or no inventory

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Field Seq.	Field Name	Field Meaning
40	Other Indicators V	New Vendor
41	Other Indicators W	Random Selection
42	Other Indicators X	Other (Used when the state completed an investigation that does not meet a reason listed above)

2.6   Reason for Sanctions

Reasons for Sanctions represent the presence or absence of a particular sanction. A sanction reason when present will be reflected with an "X" at the appropriate field location within the record.

Field Seq.	Field Name	Field Meaning
48	Reason for Sanction T	The vendor bought or sold food instruments for cash; or exchanged firearms, ammunitions, explosives, or controlled substances (as the term is defined in 21 U.S.C. 802) for food instruments.
49	Reason for Sanction A	The vendor provided alcohol or alcoholic beverages or tobacco products in exchange for food instruments
50	Reason for Sanction I	The vendor claimed reimbursement for the sale of an amount of a specific supplemental food item that exceeds the store's documented inventory of that supplemental food item for a specific period of time.
51	Reason for Sanction O	The vendor intentionally or unintentionally charged the State agency more for authorized supplemental foods than is permitted under the vendor agreement.
52	Reason for Sanction R	The vendor received or redeemed food instruments outside of authorized channels, which may include an unauthorized vendor and/or an unauthorized person.
53	Reason for Sanction F	The vendor charged the Program for supplemental food not received by the participant.
54	Reason for Sanction C	The vendor provided credit or non-food items, other than alcohol, alcoholic beverages, tobacco products, cash, firearms, ammunition, explosives, or controlled substances in exchange for food instruments.
55	Reason for Sanction U	The vendor provided unauthorized food items in exchange for food instruments, which includes charging for supplemental foods provided in excess of those listed on the food instrument.
56	Reason for Sanction FSP	The vendor was sanctioned as a result of a FSP sanction.

2.7   Sanction Type

Sanction Type represents the presence or absence of a particular type of sanction. A sanction type when present will be reflected with an "X" at the appropriate field location within the record.

Field Seq.	Field Name	Field Meaning

57	Type of Sanction D	The vendor was sent a notice of disqualification as a result of program violations, which informed the vendor of the violations detected, the disqualification period, and the right to appeal the sanction if applicable.
58	Type of Sanction C	The vendor received a CMP in lieu of disqualification.
59	Type of Sanction F	The vendor received an administrative fine.
60	Sanction S	State Agency imposed a State Agency Sanction.
61	Sanction W or N	State Agency sent a warning letter or no sanction was imposed.

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